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P24968.P01 <b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 CFR 1.53(b))		Attorney Docket No. P24968	Total Pages
13281 U.S. PTO		Inventor(s) or Application Identifier Hidenori WADA, Keiichi MATSUZAKI and Hideki HAYASHI	
ADDRESS TO: Commissioner for Patents Mail Stop Patent Application PO Box 1450 Alexandria, VA 22313-1450		Title: OPTICAL HEAD AND OPTICAL RECORDING AND REPRODUCING APPARATUS	
<b>APPLICATION ELEMENTS</b>		<b>ACCOMPANYING APPLICATION PARTS</b>	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (Submit an original, and a duplicate for fee processing) 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. a. <input type="checkbox"/> Small Entity Statement(s) 3. <input checked="" type="checkbox"/> Specification [Total Pages <u>37</u> ] - Preferred arrangement set forth below - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets <u>7</u> ] 5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>4</u> ] a. <input type="checkbox"/> Newly executed (original or copy) <input checked="" type="checkbox"/> Unexecuted b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 20 completed) [Note Box 6 below] i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. <input type="checkbox"/> Incorporation By Reference (useable if Box 5b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein. 7. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 8. <input type="checkbox"/> CD-Rom or CD-R in duplicate, large table or Computer Program (Appendix)		9. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies 10. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 11. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney 12. <input type="checkbox"/> English Translation Document (if applicable) 13. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 14. <input type="checkbox"/> Preliminary Amendment 15. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 16. <input checked="" type="checkbox"/> Figure of Drawing to be published <u>1</u> 17. <input checked="" type="checkbox"/> Foreign priority claimed a. <input type="checkbox"/> Claim of Priority b. <input type="checkbox"/> Certified Copy of Priority Document(s) 18. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b) (2) (B) (i). Applicant must attach form PTO/SB/35 or its equivalent. 19. <input checked="" type="checkbox"/> Assignee: <u>Matsushita Electric Industrial Co., Ltd.</u> <u>of Osaka, Japan</u> 20. <input checked="" type="checkbox"/> Other: <u>Cover Letter Filed Under 37 C.F.R. 1.53(b) &amp; (f)</u> _____ _____ _____ _____	
21. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 C.F.R. 1.76: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior Application No. _____, filed _____ Prior application information: Examiner: _____ Group Art Unit: _____			

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Address all future correspondence to **Customer No. 7055** at the present address of:

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 Date

*Bruce H. Bernstein*  
 Signature  
 33,329

Bruce H. Bernstein, Reg. No. 29,027  
 Typed or Printed Name

022/704

P24968P02

881  
U.S. PRO

## FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT (\$986.00)

## Complete if Known

Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	Hidenori WADA et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	P24968

## METHOD OF PAYMENT (check one)

1. ☒ The U.S. Patent and Trademark Office is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 19-0089Deposit Account Name GREENBLUM & BERNSTEIN, P.L.C.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3))
- ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)
- ☐ Applicant Claims Small Entity Status See 37 CFR 1.27.

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION (fees effective 10/01/03)

## 1. FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	770.00
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$) 770.00

## 2. CLAIMS

Total Claims	Independent Claims	Multiple Dependent Claims	Extra	Fee below	Fee Paid
32	1	0	12	18	216.00
			0	86	0
			0	290	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim
1204	86	2204	43	Reissue independent claims over original patent
1205	18	2205	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 216.00

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	2053	65	Non-English specification	
1812	2,520	1812	2,520	Requesting publication of SIR	
1804	920*	1804	920*	Prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for response within 1st month	
1252	420	2252	210	Extension for response within 2nd month	
1253	950	2253	475	Extension for response within 3rd month	
1254	1,480	2254	740	Extension for response within 4th month	
1255	2,010	2255	1,005	Extension for response within 5th month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive unavoidably abandoned application	
1453	1,330	2453	665	Petition to revive unintentionally abandoned application	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Petitions related to provisional applications	
1806	180	1806	180	Submission of IDS	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee paid

SUBTOTAL (3) (\$) 0.00

## SUBMITTED BY

Typed or Printed Name Bruce H. BernsteinSignature Bruce H. BernsteinDate 2/2/04

## Complete (if applicable)

Reg. Number 29,027

Deposit Account User ID

P24968.P03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Hidenori WADA et al.

Serial No : Not Yet Assigned

Filed : Concurrently Herewith

For : OPTICAL HEAD AND OPTICAL RECORDING AND REPRODUCING  
APPARATUS

**COVER LETTER ACCOMPANYING U.S. PATENT APPLICATION  
FILED UNDER 37 C.F.R. 1.53(b) and 1.53(f)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Enclosed is a new patent application for filing in the U.S. Patent and Trademark Office under 37 C.F.R. 1.53(b) and 1.53(f) in which the Declaration and Power of Attorney attached thereto are in unexecuted form. A properly executed Declaration and Power of Attorney will be filed within the time period set forth in the Notice to File Missing Parts of Application, unless such time period has been extended by the filing of a petition accompanied by the extension fee under the provisions of 37 C.F.R. 1.136(a).

Related to the above, this application should be associated with Customer Number 7055, which includes the present correspondence address as follows:

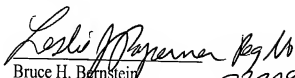
GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
Reston, VA 20191

The above-identified application includes:

- 37 pages of specification with abstract.
- 7 sheets of drawings with 8 figures.
- 32 total claims and 1 independent.
- an unexecuted Declaration and Power of Attorney.

If there are any questions, please contact the undersigned at the below-listed telephone number.

Respectfully submitted,  
Hidenori WADA et al.

  
Bruce H. Bernstein  
Reg. No. 29,027 33,329

February 27, 2004  
GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191